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PTO/SB/21 (09-04)

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

|                        |                         |
|------------------------|-------------------------|
| Application Number     | 10/634,970              |
| Filing Date            | August 5, 2003          |
| First Named Inventor   | J. Milton Harris et al. |
| Art Unit               | 1713                    |
| Examiner Name          | Unassigned              |
| Attorney Docket Number | SHE0010.13              |

### ENCLOSURES (Check all that apply)

|   |   |   |
|---|---|---|
| <input type="checkbox"/> Fee Transmittal Form                             | <input type="checkbox"/> Drawing(s)                                       | <input type="checkbox"/> After Allowance Communication to TC                            |
| <input type="checkbox"/> Fee Attached                                     | <input type="checkbox"/> Licensing-related Papers                         | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences     |
| <input type="checkbox"/> Amendment/Reply                                  | <input type="checkbox"/> Petition   | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final                                      | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declaration(s)                        | <input type="checkbox"/> Power of Attorney, Revocation                    | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request                        | <input type="checkbox"/> Change of Correspondence Address                 | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):         |
| <input type="checkbox"/> Express Abandonment Request                      | <input type="checkbox"/> Terminal Disclaimer                              | 1 Cited Reference   |
| <input checked="" type="checkbox"/> Information Disclosure Statement      | <input type="checkbox"/> Request for Refund                               |   |
| <input type="checkbox"/> Certified Copy of Priority Document(s)           | <input type="checkbox"/> CD, Number of CD(s) _____                        |   |
| <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application   | <input type="checkbox"/> Landscape Table on CD                            |   |
| <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 |   |   |
| Remarks   |   |   |

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|              |                     |          |        |
|--------------|---------------------|----------|--------|
| Firm Name    | NEKTAR THERAPEUTICS |          |        |
| Signature    |                     |          |        |
| Printed name | Mark A. Wilson      |          |        |
| Date         | November 10, 2004   | Reg. No. | 43,275 |

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

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| Signature             |              |      |           |
| Typed or printed name | Minna Cotter | Date | 10 NOV 04 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: J. Milton Harris et al. ) Atty. Docket No.: SHE0010.13  
 )  
 ) Examiner: Unassigned  
 )  
 Application No.: 10/634,970 ) Group Art Unit: 1713  
 )  
 )  
 Filed: 08/05/2003 )  
 )  
 )  
 Title: PURIFIED POLYMERS FOR )  
 MODIFICATION OF SURFACES AND )  
 MOLECULES )  
 )

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CERTIFICATE OF MAILING

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Signed: Manus Cotter

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.56, §1.97 and §1.98

Assistant Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

The references listed in the attached Forms PTO/SB/08A and B may be material to examination of the above-identified patent application. Applicants submit these references in compliance with their duty of disclosure pursuant to 37 CFR §§1.56, 1.97, and 1.98. The Examiner is requested to make these citations of official record in this application.

This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that these references indeed constitute prior art.

The references on the attached Form PTO/SB/08A and B identified by an asterisk (\*) were previously cited by or submitted to the PTO in a prior application relied upon for an earlier filing date.

Accordingly, in compliance with 37 CFR §§1.98 (d), copies of these references have not been provided.

This Information Disclosure Statement is being timely filed under 37 CFR §§1.97 and is being filed:

- within three months of the filing date of a national application or an RCE; within three months of the date of entry of the national stage as set forth in section 1.491 in an international application; or before the mailing date of a first Office action on the merits (whichever event occurs last);
- more than three months from the filing date of an application and after the mailing date of a first Office action on the merits, but before the mailing date of either a final action under section 1.113 or a notice of allowance under section 1.311 (whichever occurs first), and is accompanied by:
  - the fee set forth in 37 CFR 1.17(p) for submission of an information disclosure statement under §1.97(c) (\$180.00)
- Please charge the amount of \$\_\_\_\_ to Deposit Account 500348
- If it is determined that any additional fees are due, the Commissioner is hereby authorized to charge such fees to Deposit Account 500348.

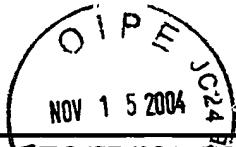
Respectfully submitted,

NEKTAR THERAPEUTICS

Dated: November 10, 2004 By:

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Mark A. Wilson  
Reg. No. 43,275

San Carlos, CA 94070  
(650) 631-3100



|  |  |                                       |
|--|--|---------------------------------------|
| <b>Form PTO/SB/08A (Modified)</b><br><small>U.S. PATENT &amp; TRADEMARK OFFICE</small>                       | <b>Atty Docket No.:</b><br>SHE0010.13        | <b>Application No.:</b><br>10/634,970 |
| <b>Information Disclosure<br/>Statement By Applicant</b><br><small>(Use Several Sheets if Necessary)</small> | <b>Applicant:</b><br>J. Milton Harris et al. | <b>Filing Date:</b><br>08/05/2003     |

## U.S. Patent Documents

|                  |                         |
|------------------|-------------------------|
| <b>Examiner:</b> | <b>Date Considered:</b> |
|------------------|-------------------------|

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|  |  |                                       |
|--|--|---------------------------------------|
| <b>Form PTO/SB/08A (Modified)</b>  | <b>Atty Docket No.:</b><br>SHE0010.13        | <b>Application No.:</b><br>10/634,970 |
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|  | <b>Filing Date:</b><br>08/05/2003            | <b>Group:</b><br>1713                 |

## Foreign Patent or Published Foreign Patent Application

|                  |                         |
|------------------|-------------------------|
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|---|--|---------------------------------------|--------------------------------|
| Form PTO/SB/08B (Modified)                    |  | Atty Docket No.:<br>SHE0010.13        | Application No.:<br>10/634,970 |
| Information Disclosure Statement By Applicant |  | Applicant:<br>J. Milton Harris et al. |                                |
| (Use Several Sheets if Necessary)             |  | Filing Date:<br>08/05/2003            | Group:<br>1713                 |

### Other Documents

| Examiner Initial | No. | Author, Title, Date, Place (e.g. Journal) of Publication   |  |
|------------------|-----|--|--|
|                  | *   | ABUCHOWSKI ET AL., "Cancer Therapy with Chemically Modified Enzymes. I. Antitumor Properties of Polyethylene Glycol-Asparaginase Conjugates," <i>Cancer Biochem. Biophys.</i> (1984), <u>7</u> :175-186.   |  |
|                  | *   | Delgado et al., "The Uses and Properties of PEG-Linked Proteins," <i>Critical Reviews in Therapeutic Drug Carrier Systems</i> (1992), <u>9</u> (3, 4):249-304.   |  |
|                  | *   | FUKE ET AL., "Synthesis of Poly(Ethylene glycol) Derivatives with Different Branchings and Their Use for Protein Modification," <i>J. of Controlled Release</i> 30 (1994), pp. 27-34.  |  |
|                  | *   | HERSHFIELD ET AL., "Use of Site-Directed Mutagenesis to Enhance the Epitope-Shielding Effect of Covalent Modification of Proteins with Polyethylene Glycol," <i>Proc. Natl. Acad. Sci. USA</i> , <u>88</u> :7185-7189, August 1991 Medical Sciences.   |  |
|                  | *   | KITAGUCHI ET AL., "Enzymatic Formation of an Isopeptide Bond Involving the $\epsilon$ -Amino Group of Lysine," <i>Tetrahedron Letters</i> (1988), <u>29</u> (43):5487-5488.  |  |
|                  | *   | MONFARDINI ET AL., "A Branched Monomethoxypoly(Ethylene Glycol) for Protein Modification," <i>Bioconjugate Chem.</i> (1995), <u>6</u> (1):62-69.   |  |
|                  | *   | NANTHAN ET AL., "Hydrogels Based on Water-Soluble Poly(Ether Urethane) from L-Lysine and Poly(Ethylene Glycol)," <i>Macromolecules</i> (1992), <u>25</u> (18):4476-4484.   |  |
|                  | *   | NANTHAN ET AL., "Copolymers of Lysine and Polyethylene Glycol: A New Family of Functionalized Drug Carriers," <i>Bioconjugate Chem.</i> (1993), <u>4</u> (1):54-62.  |  |
|                  | *   | PERNELL ET AL., "Triple Helical DNA Formation by a Hydrophobic Oligonucleotide-Peptide Hybrid Molecule," <i>Australian J. of Chem.</i> (2000), <u>53</u> :699-705, CSIRO Publishing.   |  |
|                  | *   | SARTORE ET AL., "Enzyme Modification by MPEG with an Amino Acid or Peptide as Spacer Arms," <i>Appl. Biochem. Biotechnol.</i> (1991), <u>27</u> :45-54.  |  |
|                  | *   | VERONESE ET AL., "Preparation and Properties of Monomethoxypoly(Ethylene Glycol)-Modified Enzymes for Therapeutic Applications," <i>Poly(Ethylene Glycol) Chem.: Biotechnical and Biomedical Applications</i> , edited by J. Milton Harris, Plenum Press, New York (1992), Chapter 9, pp. 127-137. |  |

|           |                  |
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## Other Documents

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